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**TO: Attn: Mary Zeman**

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Please deliver to: Group 1646, Examiner Mary Zeman

**FAX NO.: 1-703-872-9306**

**FROM: Richard G. A. Bone**

**PAGES: 33 + Cover Sheet**

**DATE: October 23, 2003**

Application of: Shiau et al.

Confirmation No.: 9894

Serial No.: 09/830,693

Filed: March 30, 1999 (§ 371 date: January 29, 2002)

For: **METHODS AND COMPOUNDS FOR MODULATING  
NUCLEAR RECEPTOR ACTIVITY**

Attorney Docket No.: 9811-0013-999

Transmitted herewith for filing are:

- (1) Preliminary Amendment Under 37 C.F.R. § 1.115;
- (2) Amendment Fee Transmittal Sheet (in duplicate); and
- (3) Certificate of Limited Recognition.

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I hereby certify that this paper is being filed with the United States Patent and Trademark Office by facsimile transmission on  
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*Richard G. A. Bone*

Richard G. A. Bone

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By Facsimile Transmission

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application of:	Shiau et al.	Confirmation No.:	9894
Serial No.:	09/830,693	Art Unit:	1646
Filed:	March 30, 1999 (§ 371 date: January 29, 2002)	Examiner:	Zeman, Mary
For:	METHODS AND COMPOUNDS FOR MODULATING NUCLEAR RECEPTOR ACTIVITY	Attorney Docket No.:	9811-0013-999

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**PRELIMINARY AMENDMENT UNDER 37 C.F.R. § 1.115**

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Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

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Sir:

In accordance with 37 C.F.R. §1.115, and prior to prosecution on the merits, please consider and enter the following preliminary amendment and remarks.

Applicants also draw the Examiner's attention to the following items, filed January 29, 2003: Preliminary Amendment; Information Disclosure Statement (with copies of references cited); and Sequence Listing, and also to a second Information Disclosure Statement (with copies of references cited), filed July 16, 2003. Applicants respectfully request the Examiner's acknowledgment of receipt thereof, and her consideration of the references furnished in conjunction with the two Information Disclosure Statements.

Amendments to the specification begin at page 2 of this Amendment.

Amendments to the claims begin at page 5 of this Amendment. This listing of claims will replace all prior versions and listings of claims in the application, including the claims as originally filed.

Remarks begin at page 24 of this Amendment.